

**UNITED STATES DEPARTMENT OF THE INTERIOR**  
**U.S. GEOLOGICAL SURVEY**

**NATIONAL GEOLOGICAL AND GEOPHYSICAL DATA PRESERVATION  
PROGRAM**

**(NGGDPP)**

**Authorized by The Energy Policy Act of 2005  
(Public Law 109-58, Sec. 351)**

**GRANT PROGRAM ANNOUNCEMENT  
No. 11HQPA0014**

**For Fiscal Year 2011**

**FY 2011 Grant Objectives:**

**Provide funding to state geological surveys, on a 1:1 matching basis to:**

- 1. Inventory collections of geological or geophysical data**
- 2. Create metadata for individual items in those data collections**
- 3. Create or update digital infrastructure**
- 4. Rescue data at risk**

**ISSUE DATE:**

---

---

**CLOSING DATE & TIME:**

**December 17, 2010, 4:30pm,  
Eastern Standard Time**

---

---

**PAPERWORK REDUCTION ACT STATEMENT:** The Paperwork Reduction Act says that the agency must tell you why we are collecting this information, how we will use it, and whether you have to give it to us. The National Geological and Geophysical Data Preservation Program is collecting this information to evaluate submitted applications to acquire funding for data preservation-related activities. Your response is required to receive funding. A Federal agency cannot conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number. The average estimated burden associated with this collection estimated to average 36 hours per response, including the time for reviewing instructions and completing the required information. Comments regarding this collection of information should be directed to the Bureau Clearance Officer, U.S. Geological Survey 2150 Centre Avenue Fort Collins, CO 80525.

# TABLE OF CONTENTS

## **PART I: AUTHORIZING LEGISLATION, ELIGIBILITY, FY 2011 GRANT OBJECTIVES,**

### **IMPORTANT DATES .....3**

A. AUTHORIZING LEGISLATION.....	3
B. ELIGIBILITY – WHO MAY SUBMIT AN APPLICATION? .....	3
C. FY 2011 GRANT OBJECTIVES.....	3
D. IMPORTANT DATES.....	4
E. FUNDING .....	4
F. IMPORTANT POINTS TO REMEMBER WHEN PREPARING AND SUBMITTING AN APPLICATION .....	5
G. QUESTIONS.....	5

## **PART II: APPLICANT GUIDELINES.....7**

A. ELECTRONIC APPLICATION SUBMISSION REQUIREMENT .....	7
B. APPLICATION PREPARATION INSTRUCTIONS .....	8
C. REJECTION OF APPLICATIONS AFTER INITIAL REVIEW .....	8
D. INVOLVEMENT OF FEDERAL EMPLOYEES .....	9
E. NGGDPP PRODUCTS AND REPORTS .....	9
F. PROPOSAL EVALUATION CRITERIA.....	9
G. NOTIFICATION .....	10
H. AWARD TERMS AND CONDITIONS .....	10
I. QUESTIONS.....	11

### **ATTACHMENT A – Application Format**

### **ATTACHMENT B – Special Terms and Conditions**

### **ATTACHMENT C – Cost Principles, Audit, and Administrative Requirements**

### **ATTACHMENT D – Sample Format and Elements of a Long-Range Data-Preservation Plan**

**NEW!** This year, your application narrative (NOT the required forms) will have a new format (see Attachment A). Using the tabular format provided in this program announcement ensures every application contains all information essential for evaluation. When you have finished entering the requested information, save this document and submit it via [grants.gov](http://grants.gov) as a Microsoft Word file or as a PDF. All other required forms shall be submitted as PDFs.

**Related to this new narrative format, please note the following:**

1. All text boxes in the new format will expand to fit the text you enter, keeping in mind the 15-page limit for application submission. If you wish to provide additional information not requested by the Program Announcement, you may add it at the end of Attachment A as long as you are within the page limit.
2. You may include graphics and charts in this file by inserting them in the document at the end of Attachment A. Be sure to include figure numbers and reference the numbers within the text as necessary.
3. We have provided a table to compile information normally included in a CV or resume for project personnel.

**PART I: AUTHORIZING LEGISLATION, ELIGIBILITY, FY 2011 GRANT OBJECTIVES, IMPORTANT DATES**

**A. AUTHORIZING LEGISLATION**

The National Geological and Geophysical Data Preservation Program (NGGDPP) was authorized by Section 351 of the Energy Policy Act of 2005 (Public Law 109-58, Sec. 351). Objectives of the Program as outlined in the Act are to:

1. Archive geologic, geophysical, and engineering data, maps, well logs, and samples;
2. Provide a national catalog of such archival material; and
3. Provide technical and financial assistance related to the archival material

For details of the *Implementation Plan for the National Geological and Geophysical Data Preservation Program* visit: <http://datapreservation.usgs.gov/>

**B. ELIGIBILITY – WHO MAY SUBMIT AN APPLICATION?**

Only state geological surveys are eligible to apply to this Program Announcement pursuant to the Energy Policy Act of 2005 (Public Law 105-58, Sec. 351). Since many state geological surveys are organized under a state university system, such universities may submit an application on behalf of the state geological survey.

**C. FY 2011 GRANT OBJECTIVES**

**PLEASE NOTE:** Applications that do not specifically address NGGDPP FY 2011 grant objectives will **NOT** be considered for an award.

**(1) FY 2011 Objective – Inventory collections of geological or geophysical data.** A collection comprises items that share similar characteristics (e.g. core, water samples), collected for a specific purpose (e.g. ground water investigation; oil and gas exploration), or from a common location (e.g. geotechnical investigation prior to construction). A State geological survey may request funds to inventory and assess the condition of their geological and geophysical data

	<p>collections. If a State received previous support to inventory collections included in this FY 2011 Application, provide justification for requesting additional support. This year, there is a new process and new website for entering collection inventory information in the National Digital Catalog, go to: <a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.gov/</a></p>
	<p><b>(2) FY 2011 Objective – Create metadata for individual items in data collections.</b> The metadata should describe sample-level attributes of items belonging to collections in the <a href="#">National Digital Catalog</a>. Site-specific data resources are targeted because most agencies dealing with geological and geophysical data have one or more kinds of site data in their purview. Focus on site-specific sample metadata will allow broad national coverage with content that will be useful to a wide variety of users.</p> <p>Support for metadata creation is available only for items in collection inventories that were previously entered in the USGS database. This year, there is a new process and new website for entering metadata in the National Digital Catalog, go to: <a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.gov/</a></p>
	<p><b>(3) FY 2011 Objective – Create or update digital infrastructure, including data migration to assure data are not lost due to recording media degradation or changing data recording formats or programs</b></p> <ol style="list-style-type: none"> <li>1. Convert paper records and data to digital formats for preservation and access</li> <li>2. Maintain digital data in modern formats and on permanent media.</li> <li>3. Update digital data to new formats to preserve accessibility as older digital storage technologies become obsolete.</li> <li>4. Support computer programming, equipment, and staff necessary to create new, or improve existing, databases relevant to collection of digital and physical data.</li> </ol> <p>Collection Inventories and Metadata for records converted or created shall be entered in the National Digital Catalog as described in Grant Objectives 1 and 2.</p>
	<p><b>(4) FY 2011 Objective – Rescue data at risk.</b> This objective is for time-dependent preservation of unique geologic data or collections in imminent danger of loss from deteriorating physical surroundings, threat of disposal, or rapidly deteriorating medium on which they reside (for example, data stored on magnetic tape). Although data rescue is a priority of the NGGDPP, the Program has limited funding. Please provide detailed justification for rescuing data at risk. Collection Inventories and Metadata for rescued data or collections shall be entered in the National Digital Catalog as described in Grant Objectives 1 and 2.</p>
<b>D. IMPORTANT DATES</b>	
	<p>The deadline for filing applications is: December 17, 2010, at 4:30pm, Eastern Standard Time. Applications received after this time will <b><u>NOT</u></b> be considered for an award.</p> <p>The earliest start date for new grants will be after the USGS receives its final FY 2011 appropriation, notice of full-year continuing resolution, or <b>May 1, 2011</b>, whichever is later. The Government's obligation for this assistance program is subject to availability of appropriated funds from which to award grants. Until there is a final appropriation or full-year continuing resolution, funds will not be available.</p> <p>The latest start date is <b>September 15, 2011</b>. Awards are for a 12-month period only. No awards will be issued for less than or more than 12 months.</p>
<b>E. FUNDING</b>	
	<p>One application from each state geological survey will be accepted that addresses one or more of the FY 2011 grant objectives.</p>

	<p>In FY 2011, the NGGDPP expects to fund about 20 to 35 applications and to award about \$550,000. Statute (Public Law 109-58) requires NGGDPP Grant funds be matched 1:1 with non-Federal dollars (direct and indirect costs). The non-Federal share may be contributions of services or cash provided to contractors to perform services directly applicable to proposed work on the project. The 1:1 ratio, however, does not prevent states from securing additional funds from other non-Federal tax-supported entities to increase the total amount of data preserved. The Program encourages multiple partnerships as they leverage resources available for preservation of geological and geophysical data. Federal regulations prohibit matching Federal funds with other Federal funds. The value of collections and data, and its acceptability when applied to meet the cost-sharing (matching) requirement, must be appraised by an independent third party certified in the state in which the organization is registered. The organization using the value of their collections or data as part of the cost-sharing requirement must pay for the appraisal of the holdings.</p> <p><b>NOTE:</b> Notification of a successful application does <u>not</u> constitute authority to incur costs. Costs may be incurred only after the receipt of a <b>grant award</b> signed by a Contracting Officer of the USGS.</p>
--	---

#### F. IMPORTANT POINTS TO REMEMBER WHEN PREPARING AND SUBMITTING AN APPLICATION

	<p>The <b>FORMAT</b> of the Program Announcement and for application submittal <b>HAS CHANGED</b>. The information requested remains the same but we have structured both as tables. <b>PLEASE</b> use the provided format for your application.</p>
	<p><b>READ</b> this Program Announcement carefully and address each point explicitly, the application review panel cannot make assumptions about or interpret what is or is not included in the application.</p>
	<p><b>PROVIDE</b> rationale for choosing which data to inventory, create metadata for, create digital infrastructure for, or for which you propose data rescue.</p>
	<p>If there is a possibility the data for which you are requesting funding might logically be available from another source (e.g. state oil and gas commission), <b>MAKE THE CASE</b> for why your geological survey is the only source.</p>
	<p><b>EXPLAIN</b> roles and responsibilities of all staff on proposed project, especially if any staff function as managers or supervisors. We have provided a table for this information so you need not submit separate CVs.</p>
	<p><b>DOCUMENT</b> prior work, the panel will not necessarily know anything about your prior work. We have also provided a table for this information which will show work completed in prior years and work proposed in FY 2011.</p>
	<p><b>HAVE</b> a Long-Range Data-Preservation Plan in place and show how the work you propose relates to it.</p>
	<p><b>ALWAYS</b> contact us if you have questions, we're here to help.</p>
	<p><b>START</b> submitting your application to Grants.gov well in advance of due date, <b>do not wait</b>.</p>

#### G. QUESTIONS

	<p>For Grants.gov questions, contact Laura Mahoney, (703) 648-7344, <a href="mailto:lmahoney@usgs.gov">lmahoney@usgs.gov</a> or  <a href="http://www.grants.gov/applicants/app_help_reso.jsp">http://www.grants.gov/applicants/app_help_reso.jsp</a>  <a href="http://www.usgs.gov/contracts/grants/grantsgov.html">http://www.usgs.gov/contracts/grants/grantsgov.html</a></p> <p>For Contract questions, contact Maggie Eastman, (703) 648-7366, <a href="mailto:mrussell@usgs.gov">mrussell@usgs.gov</a></p> <p>For NGGDPP Grants Program questions, contact Frances Pierce, (703) 648-6636,</p>
--	---

	<p><a href="mailto:fpierce@usgs.gov">fpierce@usgs.gov</a></p> <p>For NGGDP Program questions, contact Tamara Dickinson, (703) 648-6603, <a href="mailto:tdickinson@usgs.gov">tdickinson@usgs.gov</a></p>
--	--

## PART II: APPLICANT GUIDELINES

### A. ELECTRONIC APPLICATION SUBMISSION REQUIREMENT

All applications shall be submitted electronically using Grants.gov: <http://www.grants.gov>. Be sure to read the instructions carefully. Paper copies will NOT be accepted.

Please be aware the electronic submission process requires first-time users to register using an e-Authentication process. This registration process can be somewhat complex and can take up to 3 weeks to complete. Be advised it is virtually impossible to begin the process of electronic submission for the first time if you start just a few days before the due date. If you are from a university, contact your Office of Sponsored Programs. They may already have completed the registration process and should work with you to submit the application.

Once at the website, click “Get Registered” under the “For Applications” heading and follow the instructions provided. In order to complete the SF 424 forms (not the narrative), **everyone** must use the Adobe Reader version which is available for download from the grants.gov site at:

[http://www.grants.gov/help/download\\_software.jsp#adobe811](http://www.grants.gov/help/download_software.jsp#adobe811). To ensure that you have the correct version of Adobe Reader, you can use the versioning test located at:

<http://www.grants.gov/applicants/AdobeVersioningTestOnly.jsp>. Any and all edits made to the application package must be made with the Adobe Reader version specified on Grants.gov. Grants.gov does not guarantee to support other versions of Adobe Reader released prior to version 8.1.1. For more information on Adobe Reader, please see: [http://www.grants.gov/applicants/applicant\\_faqs.jsp#adobe-reader-error](http://www.grants.gov/applicants/applicant_faqs.jsp#adobe-reader-error).

Please note that there is an underscore between “applicant” and “faqs” in the URL. If you have any questions regarding the registration process, please contact the Grants.gov help desk at 1-800-518-4726.

In the Grants.gov forms, floating your mouse over a field will provide instructions for completing that field. You can also click on the Check Package for Errors button to check the entire application for validation errors (incomplete fields, etc.).

There are several steps of the submission process that require careful attention by applicants to assure their application has been fully accepted. It is suggested applicants read the document available at <http://www.grants.gov/assets/TrackingYourApplicationPackage.pdf>.

Briefly, when you submit a grant application package to Grants.gov, you will receive a confirmation screen as well as three additional emails over two business days from Grants.gov informing you of your application processing status:

1. **CONFIRMATION: Submission Confirmation Screen**

After you submit your grant application package, a confirmation message will appear on your computer screen. This screen confirms that you have submitted an application to Grants.gov. This page contains a tracking number to check the status of the submission as well as a “Track My Application” link, to see the progress of your submission.

2. **NOTIFICATION 1: Submission Receipt Email**

Within two business days after your application package has been received by the Grants.gov system, you will receive a submission receipt email that indicates your submission has entered the Grants.gov system and is ready for validation. This email also contains a tracking number for use while tracking the status of the submission as well as a “Track My Application” link, to use to see the progress of your submission.

3. **NOTIFICATION 2: Submission Validation Receipt Email – This is the important one!**

After you receive the submission receipt email, the next email you will receive will be a message validating or rejecting your submitted application package with errors. The Grants.gov system is designed to check for technical errors within the submitted application package. Grants.gov does

not review application content for award determination.

4. **NOTIFICATION 3: Grantor Agency Retrieval Email**

Once your application package has passed validation, it is delivered to the grantor for award determination and further approval. After the grantor has confirmed receipt of your application, you will be sent a third and final email from Grants.gov. The grantor may also assign your application package an agency-specific tracking number for use within their internal system.

If you need help entering your application, you can reach the **Grants.gov Contact Center** at: 1-800-518-4726. Their hours of operation are Monday-Friday, 7:00 a.m. to 9:00 p.m., Eastern Time, and they are closed on [Federal Holidays](#).

When you contact the Grants.gov Contact Center, have the following information available to help expedite your inquiry:

- Funding Opportunity Number (FON)
- Name of Agency You Are Applying To
- Specific Area of Concern

Your electronic submission will consist of required forms SF-424, SF-424a, and SF-424b, plus the items described below. To obtain hard copies of the required forms, or to view complete forms instructions, please visit the Grants.gov Forms Repository at

[http://www.grants.gov/agencies/aapproved\\_standard\\_forms.jsp#1](http://www.grants.gov/agencies/aapproved_standard_forms.jsp#1). *Please note there are underscores between "approved" and "standard" and "standard" and "forms" in the URL.*

For more information on the Grants.gov registration and submission process, please see <http://www.usgs.gov/contracts/grants/grantsgov.html>

## **B. APPLICATION PREPARATION INSTRUCTIONS**

Page limit	The application shall not exceed <b>15</b> single-spaced pages (including figures, tables, appendices, etc.) and the type size shall not be smaller than 11 point. All pages of the application shall be numbered. All text, figures, and tables shall be sized to fit on 8½" by 11" paper. The SF forms, Project personnel justification and expertise table in the application format, letters from stakeholders, negotiated cost and rate agreements, and equipment quotes do <b>not</b> count toward the 15-page limit.
File format	Your application narrative shall be submitted in MS Word or PDF using Attachment A – Application Format. Following this format ensures every application contains all essential information and is evaluated equitably. All forms shall be submitted through <a href="#">Grants.gov</a> .

## **C. REJECTION OF APPLICATIONS AFTER INITIAL REVIEW**

	<p>If an application does not meet all requirements specified in the Announcement, as determined by the Contracting Officer in consultation with the NGGDP Program Coordinator and NGGDPP Grants Program Manager, the applicant will be promptly notified in writing of the rejection along with the reason for the rejection.</p> <p>If the application does not address at least one of the FY 2011 <a href="#">grant objectives</a>, it will be rejected.</p> <p>If the application is not in the format specified, it will be rejected.</p>
--	---



D. INVOLVEMENT OF FEDERAL EMPLOYEES	
	Federal employees, including USGS employees, are prohibited from assisting in any capacity (paid or unpaid) with preparation of any application submitted under this Announcement. Applications that have a real, or the appearance of, conflict of interest related to Federal employees will not be processed for evaluation. This does not prohibit cooperation or collaboration between USGS and non-USGS scientists once a grant is in place.
E. NGGDPP PRODUCTS AND REPORTS	
<i>If your proposed work involves...</i>	<i>...then you shall:</i>
Inventorying collections	submit records for collections via <a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.gov/</a> This is a new site for entering collection inventory information.
Creating metadata	provide metadata for individual samples in collections already inventoried and entered in the National Digital Catalog through one of the supported methods documented at <a href="http://ndc.sciencebase.gov/">http://ndc.sciencebase.gov/</a>
Creating or updating digital infrastructure	
Rescuing data at risk	
Final technical report	<p>All awards made under the NGGDPP will require submittal of a final technical report that shall document and summarize the results of the work. Such reports shall contain:</p> <ol style="list-style-type: none"> <li>1. Cover page with the following information:</li> <li>2. Award Number</li> <li>3. Title</li> <li>4. Author and Affiliation with Address and zip code</li> <li>5. Author's Telephone numbers, fax numbers and E-mail addresses</li> <li>6. Term covered by the award (start and end dates)</li> <li>7. Submittal Date of Final Technical Report</li> <li>8. Abstract</li> <li>9. Main body of the report with the following information: <ol style="list-style-type: none"> <li>a) Comparison of actual accomplishments to the goals established for the period;</li> <li>b) If established goals were not met, explanation of circumstances and impediments.</li> </ol> </li> </ol> <p>Final technical reports shall be submitted electronically to Frances Pierce at <a href="mailto:fpierce@usgs.gov">fpierce@usgs.gov</a> A copy of the transmittal letter shall be submitted to Margaret Eastman at <a href="mailto:mrussell@usgs.gov">mrussell@usgs.gov</a></p>
F. PROPOSAL EVALUATION CRITERIA	
Peer Panel	NGGDPP applications will be reviewed by a peer panel of approximately ten (10) members. <b>Approximately five (5) members will be representatives of state geological surveys and five (5) members will be Federal agency representatives.</b>

Application Evaluation Criteria	<b><i>All applications submitted will be evaluated in accordance with the criteria listed below. Each reviewer will complete an evaluation form for each application and evaluation forms will become part of the official proceedings record at the conclusion of the Review Panel meeting. NOTE: To avoid any conflict of interest, no panelist may vote on an application from his or her state geological survey or state agency nor may any panelist take part in any discussion with other panel members about his or her state's application.</i></b>
<b>Points</b>	<i>All applications will be evaluated according to the following criteria weighted as follows:</i>
30	<b>Merit of the application.</b> This factor considers the data preservation merit and technical viability of the proposed approach and the probability of achieving positive results within the designated period.
30	<b>Relevance.</b> We will consider of the proposed data preservation activities as they relate to the USGS NGGDP Program goals and the state's long-range data-preservation plan.
20	<b>Competence (10 points) and recent performance (10 points). Total = 20 points.</b> This factor considers experience and competence of the PI and coworkers and the promptness with which the results from previous funding were submitted as described in the application. This factor includes performance records and capability to provide necessary facilities and support to ensure satisfactory completion of the proposed work. The recent performance element is primarily concerned with whether reporting requirements from previous USGS awards have been satisfied.
20	<b>Appropriateness and reasonableness of the budget.</b> We will consider whether the proposed budget describes how Federal funds will be matched 1:1 by state funds, is commensurate with the level of effort needed to accomplish the project objectives and whether the cost of the project is reasonable relative to the value of the anticipated results.

<b>G. NOTIFICATION</b>	
	<p>Following the peer panel reviews, the USGS will make funding decisions and will notify applicants of one of three possible decisions:</p> <ol style="list-style-type: none"> <li>1. The application has been recommended for funding in FY 2011, subject to appropriations;</li> <li>2. The application is being declined and will not be funded in FY 2011; or</li> <li>3. Part of the application is declined for funding and the applicant will be notified and requested to submit an amended application and budget.</li> </ol>
<b>H. AWARD TERMS AND CONDITIONS</b>	
	Pre-award costs are not authorized.
	Requests for no-cost extensions to the project period are discouraged and will be considered on a case-by-case basis. The timely conduct of funded projects is important

	to achieving program goals. Applicants should consider time commitments prior to applying for a grant. The USGS reserves the right to limit the length of time and number of no-cost extensions. Please note that no-cost extensions are not intended to be used merely for the purpose of expending unobligated balances. Applicants should supply documentation supporting their request for an extension, as described in Attachment B.
	Requests for increases in funds beyond the amount awarded are also discouraged. Funding is given according to the reviewers' judgment of the merit of an application and their expert knowledge of the expenses likely to be incurred during the project.
	A final technical report must be submitted within 90 days after the end of the grant performance period.

## I. QUESTIONS

	<i>for...</i>	<i>contact</i>	<i>phone</i>	<i>Email</i>
	grants.gov issues	<b>Laura Mahoney</b>	(703) 648-7344	<a href="mailto:lmahoney@usgs.gov">lmahoney@usgs.gov</a>
	contract issues	<b>Maggie Eastman</b>	(703) 648-7366	<a href="mailto:mrussell@usgs.gov">mrussell@usgs.gov</a>
	Grants Program Manager	<b>Frances Pierce</b>	(703) 648-6636	<a href="mailto:fpierce@usgs.gov">fpierce@usgs.gov</a>
	Program Coordinator	<b>Tamara Dickinson</b>	(703) 648-6603	<a href="mailto:tdickinson@usgs.gov">tdickinson@usgs.gov</a>